



1764

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number

10/019,458

Filing Date

07/12/2002

First Named Inventor

Roy G. Gordon

Group Art Unit

1764

Examiner Name

TBD

Total Number of Pages in This Submission

82

Attorney Docket Number

42697.127US2

ENCLOSURES (check all that apply)

- ☐ Fee Transmittal Form
- ☐ Fee Attached
- ☐ Amendment / Reply
- ☐ After Final
- ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☒ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/ Incomplete Application
- ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Assignment Papers (for an Application)
- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) _____

- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Other Enclosure(s) (please identify below):
 - Postcard; Eleven (11) cited references; PTO Form 1449

Remarks

RECEIVED

NOV 14 2002

TC 1700

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm
or
Individual name

Mary Rose Scozzafava, Ph.D.

Signature

Mary Rose Scozzafava Reg. No. 36,268

Date

11/07/2002

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date:

11/07/2002

Typed or printed name

Rebecca S. Tinio

Signature

Rebecca S. Tinio

Date

11/07/2002

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



PATENT
ATTORNEY DOCKET NO. 42697.127US2

Certificate of Mailing: Date of Deposit: November 7, 2002

I hereby certify under 37 C.F.R. § 1.8(a) that this correspondence is being deposited with the United States Postal Service as **first class mail** with sufficient postage on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Rebecca S. Tinio
Printed name of person mailing correspondence


Signature of person mailing correspondence

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:	Gordon et al.	Art Unit:	1764
Serial No.:	10/019,458	Examiner:	TBD
Filed:	July 12, 2002	Customer No.:	23483
Title:	Liquid Precursors for Formation of Materials Containing Alkali Metals		

Assistant Commissioner For Patents
Washington, DC 20231

INFORMATION DISCLOSURE STATEMENT

Applicant submits the references listed on the attached form PTO-1449, copies of which are enclosed.

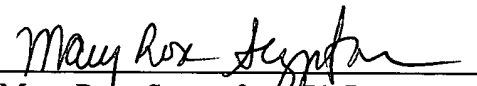
Submission of this statement is not a representation that a search has been made, nor is information included in this statement an admission that the information is material to patentability.

This statement is being filed before the receipt of a first Office action on the merits. Applicants believe no fee is due. If there are any other charges, or any credits, please apply them to Deposit Account No. 08-0219.

RECEIVED
NOV 14 2002
TC 1700

Respectfully submitted,

Date: November 7, 2002

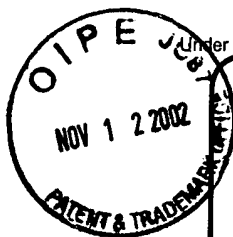

Mary Rose Scozzafava, Ph.D.
Reg. No. 36,268

Hale & Dorr, LLP
60 State Street
Boston, MA 02109
Tel: (617)526-6000
Fax: (617)526-5000

+

Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
a collection of information unless it contains a valid OMB control number.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

**Complete if Known**

(use as many sheets as necessary)

Sheet	1	of	2
-------	---	----	---

Application Number	10/019,458
Filing Date	July 12, 2002
First Named Inventor	Roy G. Gordon
Group Art Unit	1764
Examiner Name	TBD
Attorney Docket Number	4269Z 127US2

[illegible][illegible]

RECEIVED
NOV 14 2002
TC 1700

Examiner
Signature

Date	
Considered	

¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U. S. Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:** Assistant Commissioner for Patents, Washington, DC 20231.

+

U. S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

U. S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
a collection of information unless it contains a valid OMB control number.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet	2	of	2
-------	---	----	---

Complete if Known

Application Number	10/019,458
Filing Date	July 12, 2002
First Named Inventor	Roy G. Gordon
Group Art Unit	1764
Examiner Name	TBD
Attorney Docket Number	42697 1271JS2

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.†	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T²
		Database Registry on STN: Derwent Publication Ltd., Accession Number 113:78097, Taken from J. Heterocycl. Chem. (1989), 26(6), pp. 1771-1780.	
		Database Registry on STN, Derwent Publication Ltd., Accession Number 107:96786, Taken from Chimia (1986), 40(6), pp. 202-205.	
		Chikuma et al. "Waveguiding Epitaxial Potassium Lithium Niobate Single-Crystal Films Deposited by Metalorganic Chemical Vapor Deposition." Jpn. J. Appl. Phys. Vol. 37 (1998), pp. 5582-5587.	
		Feigelson. "Epitaxial Growth of Lithium Niobate Thin Films by the Solid Source MOCVD Method." J. Crystal Growth 166 (1996), pp. 1-16.	
		Tanaka et al. "Preparation of Lithium Niobate Films by Metalorganic Chemical Vapor Deposition with a Lithium Alkoxide Source." J. Crystal Growth 148 (1995), pp. 324-326.	
		Lingg et al. "Sodium Fluoride Thin Films by Chemical Vapor Deposition." Thin Solid Films, 209 (1992), pp. 9-16.	

RECEIVED

NOV 14 2002

TC 1700

Examiner
Signature

Date
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number. ² Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U. S. Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:** Assistant Commissioner for Patents, Washington, DC 20231.

+